



State of Montana

Secretary of State

Agency IT Plan

Fiscal Year 2012-2017

May 2012

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EXECUTIVE SUMMARY



The Secretary of State is one of five elected executive-branch officers originally designated by the Montana Constitution. The Secretary of State serves as Montana's chief election official, and the office is charged with the oversight and administration of a diverse set of laws. The related duties include the administration of elections, commissioning notaries public, registering businesses, maintaining private-sector documents directly related to business, publishing administrative rules, filing commercial and agricultural liens, and the preservation of public documents.

The Secretary of State's Office has established business goals that demonstrate a commitment to better positioning Montana for the future by embracing innovative ideas and technology. The office strives to identify best practices and emerging technologies that address ongoing technology issues, effectively meet business requirements, and deliver the type of services today's customers expect at a level of quality they deserve.

Information technology initiatives implemented in the last few years and planned for the future have focused on meeting customer demands by providing convenient access to a larger array of online services and public information, and retiring outdated systems. Challenges include limited staff and resources, ongoing reliance on outdated applications and manual processes, and competing priorities. The customer base is varied and there are growing expectations related to accessing services or public information online.

The overall goal of the office is to improve government services. The office has identified two supporting objectives that cross nearly every division and call for the development, deployment and maintenance of unique IT solutions. They are:

1. Replacing an aging and outdated legacy mainframe application, and several smaller applications and databases that support SOS lines of business and customer service
2. Augment IT support capabilities and tools to support new systems and objectives

The Secretary of State's Office has 57 FTE. The office is funded through the collection of fees, which are among the lowest in the nation. No general fund dollars are spent on the operational costs of the office.

The implementation of the identified solutions will enhance the services provided to customers and result in a more efficient government operation. The office looks forward to pursuing these opportunities to better meet customer demands, and to deliver IT services in a more deliberate and cost-effective manner.

SECTION 1: AGENCY ADMINISTRATIVE INFORMATION

Role: Plan Owner

Name: Secretary of State Linda McCulloch
Telephone Number: 444-4195
EMail Address: LMcCulloch@mt.gov

Role: IT Contact

Name: Mark Van Alstyne, IT Manager
Telephone Number: 444-4243
EMail Address: MVanAlstyne@mt.gov

IT Inventory

The SOS IT inventory database located at <http://mine.mt.gov/enterpriseitinventory> was updated on April 4, 2012. As required by MCA 2-17-524(3)(c) the plan will be updated by June 30th, 2012.

SECTION 2: AGENCY IT MISSION



Secretary of State IT Mission Statement

In an ongoing effort to provide services to the customers of the Secretary of State, the office strives to promote, develop, and deploy new technologies that create an environment that nurtures and enhances the entrepreneurial spirit of Montana by:

- Providing appropriate tools, training and technical assistance to SOS employees
- Aligning technology and business needs
- Optimizing current technologies
- Promoting inter-agency information sharing

In addition, it is our mission to provide the public with the ability to access and submit needed information anytime, anywhere 24 hours a day, 7 days a week through the use of appropriate e-government solutions.

SECTION 3: AGENCY REQUIRED PROGRAMS

Information Security Management (ISM) Program General Description

The Secretary of State's Office is working toward implementing an agency-wide information security management program plan. However, since much of the initial work of this program plan is related directly to the continuity of operations (COOP) capability program plan, the office has not started the ISM program plan. After the Department of Administration Continuity Services works with the Secretary of State's Office on the COOP plan, work on the ISM program plan will begin.

The resulting program plan will be compliant with §2-15-114, MCA and State Information Technology Systems Division *Information Security Programs* policy with adoption of the National Institute of Standards and Technology (NIST) Special Publication 800 series as guides for establishing appropriate security procedures. This is in alignment with the State of Information Technology Service's direction for an enterprise approach to protect sensitive and critical information being housed and shared on State and/or external/commercial information assets or systems.

As described in NIST SP 800-39, the Secretary of State's Office is working toward developing the Information Risk Management Strategy to guide the agency through information security lifecycle architecture with application of risk management. This structure provides a programmatic approach to reducing the level of risk to an acceptable level, while ensuring legal and regulatory mandates are met in accordance with MCA §2-15-114.

The agency's program will have four components, which interact with each other in a continuous improvement cycle. They are as follows:

- Risk Frame – Establishes the context for making risk-based decisions
- Risk Assessment – Addresses how the agency will assess risk within the context of the risk frame; identifying threats, harm, impact, vulnerabilities and likelihood of occurrence
- Risk Response – Addresses how the agency responds to risk once the level of risk is determined based on the results of the risk assessment; e.g., avoid, mitigate, accept risk, share or transfer
- Risk Monitoring – Addresses how the agency monitors risk over time; "Are we achieving desired outcomes?"

The Secretary of State's Office information security management program is challenged with limited resources; people and funding. While alternatives are reviewed and mitigation efforts are implemented the level of acceptable risk is constantly challenged by the ever changing technology and associated risks from growing attacks and social structure changes. Specific vulnerabilities have been identified which require restructure, new equipment, or additional personnel.

Continuity of Operations (COOP) Capability Program General Description

The Department of Administration *Continuity Services* has yet to begin work with the Secretary of State's Office on the development of our agency's Continuity of Operations Capabilities, which will provide the plans and structure to facilitate response and recovery capabilities to ensure the continued performance of the State Essential Functions of Government. This program will involve two Blocks of focus; the first is to complete the Business Continuity Plans (BCP) involving two phases, the second Block works on the specific business processes or activity plans such as Emergency Action Plans (EAP), Information System Contingency Plan (ISCP), Communications Plans, Incident Management Plans, and more.

SECTION 4: AGENCY IT PLAN – GOALS & OBJECTIVES

Goal Number 1:

ITG 1 Improve Government Services

Description: Develop, deploy and maintain IT solutions that meet the needs of the public, as well as Secretary of State customers and staff.

Benefits: More efficient use of both agency staff and IT resources, and improve public accessibility to government services.

Supports State IT Strategic Plan By:

- Improving government services by providing the best possible service to citizens and staff.
- Developing IT resources in an organized, deliberative and cost effective manner.

Supporting Objective/Action

ITO 1-1 Legacy Systems Replacement

Replace an aging and outdated legacy mainframe application, and several smaller applications and databases that support SOS lines of business and customer service.

Describe the business requirements or business problem driving this objective:

- Legacy applications do not meet the public or office business requirements
- Legacy applications have technology limitations that won't allow them to meet business requirements
- Legacy applications are expensive and time-consuming to maintain and enhance
- Most SOS legacy systems are dependent on legacy operating systems, and in some cases, hardware.

Describe the benefits to be derived from the successful completion of this objective:

- Office-wide accounting system will cover all areas of business within SOS, thereby eliminating "silo" accounting systems.
- Multiple, "silo" SOS line of business applications will be wrapped into a single, more manageable system.
- Removing these high-risk legacy application dependencies will increase system reliability and ease of maintenance.
- Affordable, reliable document imaging and workflow will allow the office to move away from its dependence on paper to do business.
- Optical character recognition and redaction technologies to address productivity, cost savings and data security issues.

Describe the anticipated risks associated with this objective:

- Continued funding
- Internal staff availability

Describe how this objective supports the agency IT goal

- Providing appropriate tools, training, and technical assistance to SOS employees
- Aligning technology and business needs
- Optimizing current technologies

What is the timeframe for completion of this objective? Complete first phase during FY13

Describe the critical success factors associated with this objective; i.e., how will you know when it has been successfully completed?

- Retirement of 100% systems identified as duplicate in the office
- Marked reduction in the document filing rejection rate
- Marked reduction in the document processing back log
- Increased services offered on-line
- Marked reduction in handling of paper
- Positive trend in customer satisfaction survey(s)

Goal Number 2:

ITG 2 Develop SOS IT Resources

Description: Develop in-house IT staff with up-to-date skill sets, depth of knowledge, cross-training, and the ability to support in-house applications.

Benefits: More efficient use of both agency staff and IT resources

Supports State IT Strategic Plan By:

- Developing IT resources in an organized, deliberative and cost effective manner.

Supporting Objective/Action

ITO 2-1 Augment Technical Support Services

Describe the business requirements or business problem driving this objective:

- SIMS and other new systems will require support
- Current legacy system support contracts with vendors are not cost effective
- The new state security policy requires additional IT resources
- The following technical support resources have been identified:
 - Programmer/analysts
 - Database analyst
 - Security officer/analyst

Describe the benefits to be derived from the successful completion of this objective:

- Cost savings over contracted support
- In-house knowledge required for IT to adequately support customers
- Institutional knowledge built within organization
- Compliance with the state security policy

Describe the anticipated risks associated with this objective:

- Availability of qualified applicants in job market

Describe how this objective supports the agency IT goal

- Augmenting technical support services directly fulfills the IT mission by:
 - Providing appropriate tools, training, and technical assistance to SOS employees
 - Aligning technology and business needs
 - Optimizing current technologies

What is the timeframe for completion of this objective? Anticipated completion during FY 13 and FY 14

Describe the critical success factors associated with this objective; i.e., how will you know when it has been successfully completed?

- Staff fully trained and competent according to established performance measures
- Reduction of the need for contracted support for in-house applications
- Staff able to keep up with workload according to established performance measures

SECTION 5: IT INITIATIVES (FY2012 – FY 2017)

Initiative 1: SOS Information Management System (SIMS)

Description: Business Services System replacement (extended from the 2010 plan). Replace an aging and outdated legacy mainframe application that contains information on every registered business in Montana, and several smaller applications and databases that support office accounting and other filings.

EPP Number (if applicable):

Initiative 2: Increasing Technical Support Capacity

Description: Augment technical support staff, and training, in order to provide enhanced support services for core support of the Legacy, ARMI, MT Votes, eSERS, and SIMS systems, and state security policy implementation (extended from the 2010 plan).

SECTION 6: ENTERPRISE ALIGNMENT

Communities of Interest Participation

☒ Government Services

☐ Public Safety

☐ Human Resources

☐ Environmental

☐ Education

☒ Economic

☐ Cultural Affairs

☐ Finance

SECTION 7: PLANNED AGENCY IT EXPENDITURES

Expense Category	FY2012		FY2013		FY2014		FY2015		FY2016		FY2017
Personal Services	\$ 388,756		\$ 471,531		\$ 600,419		\$ 604,306		\$ 616,932		\$ 628,478
Operating Expenses	\$ 728,711		\$ 747,204		\$ 424,204		\$ 342,113		\$ 348,955		\$ 355,798
Initiatives	\$ 67,500		\$ 1,266,802		\$ 1,216,134				\$ 200,000		
Other expenditures											
Totals	\$ 1,184,967		\$ 2,485,537		\$ 2,240,757		\$ 946,419		\$ 1,165,887		\$ 984,276

SECTION 8: ADDITIONAL INFORMATION - OPTIONAL